

Our Ref. No. 005383.P001

Patent

# 41 Reg for Refund  
04-09-03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Patent Application of:

Eugene Lapidous

Application No.: 09/785,967

Filed: February 16, 2001

For: METHOD AND APPARATUS FOR  
MULTI-MODAL DOCUMENT  
RETRIEVAL IN THE COMPUTER  
NETWORK

Examiner: Unassigned

Art Unit: 2171

Commissioner for Patents  
Attention: Refund Section,  
Accounting Division Office of Finance  
Washington, D.C. 20231

REQUEST FOR REFUND  
(Pursuant to 37 C.F.R. 1.26(a))

Dear Sir:

Applicant respectfully requests a refund of the filing fees for the above-identified patent application. Applicant filed the above-identified patent application with large entity fees. However, at the time of filing, Applicant was a small entity.

The Applicant has submitted filing fees of \$1152.00 under a large entity status, (the filing fee was \$710.00, the claim fees were \$402.00 and the Assignment Recordation Fee was \$40.00). Applicant requests a refund in the amount of \$556.00, ( $\$1152.00 - \$596.00 = \$556.00$ ). The refund fee has been calculated based on the small entity filing fees of FY 2001: the filing fee would have been \$355.00, the claims fees would have been \$201.00, the Assignment Recordation fee remains \$40.00, total \$596.00.

FIRST CLASS CERTIFICATE OF MAILING (37 C.F.R. § 1.8(a))

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on:

January 15, 2003

Date of Deposit

Michelle Begay

Name of Person Mailing Correspondence

*Michelle Begay*

Signature

January 15, 2003

Date


Enclosed please find a copy of the original Fee Transmittal FY 2001 and a corrected, unsigned Fee Transmittal FY 2001 to show small entity fees.

Applicant respectfully requests a refund in the amount of \$556.00 to be credited to Deposit Account No. 02-2666. A duplicate of this Response is enclosed.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: January 15, 2003

  
Marina Portnova  
Attorney for Applicant  
Registration No. 45,750

Customer No. 008791  
12400 Wilshire Blvd.  
Seventh Floor  
Los Angeles, CA 90025-1026  
(408) 720-8300

**BEST AVAILABLE COPY**

**FEE TRANSMITTAL FOR FY 2001****TOTAL AMOUNT OF PAYMENT (\$)** \$1152.00**Complete if Known:**

Application No. Unassigned  
 Filing Date Unassigned  
 First Named Inventor Eugene Lapidous  
 Group Art Unit Unassigned  
 Examiner Name Unassigned  
 Attorney Docket No. 5383.P001

**METHOD OF PAYMENT (check one)**

1. ☒ [ X ] The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666  
 Deposit Account Name \_\_\_\_\_

- ☒ [ X ] Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☐ [ ] Applicant claims small entity status. See 37 CFR 1.27

2. ☒ X Payment Enclosed: ☒ X Check  
 \_\_\_\_\_ Credit Card  
 \_\_\_\_\_ Money Order  
 \_\_\_\_\_ Other

**FEE CALCULATION****1. BASIC FILING FEE**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Code</u>	<u>Fee (\$)</u>	<u>Code</u>	<u>Fee (\$)</u>		
101	710	201	355	Utility application filing fee	<u>710.00</u>
106	320	206	160	Design application filing fee	_____
107	490	207	245	Plant filing fee	_____
108	710	208	355	Reissue filing fee	_____
114	150	214	75	Provisional application filing fee	_____

**SUBTOTAL (1) \$** 710.00**2. EXTRA CLAIM FEES**

		<u>Extra Claims</u>	<u>Fee from below</u>	<u>Fee Paid</u>
Total Claims	<u>29</u>	- 20** = <u>9</u>	X <u>18.00</u>	= <u>162.00</u>
Independent Claims	<u>6</u>	- 3** = <u>3</u>	X <u>80.00</u>	= <u>240.00</u>
Multiple Dependent				= _____

\*\*Or number previously paid, if greater; For Reissues, see below.

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>
<u>Code</u>	<u>Fee (\$)</u>	<u>Code</u>	<u>Fee (\$)</u>	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, If not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) \$** 402.00

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Code</u>	<u>Fee (\$)</u>	<u>Code</u>	<u>Fee (\$)</u>		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to Institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	710	246	355	For filing a submission after final rejection (see 37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (see 37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
195	300	195	300	Publication fee for early, voluntary, or normal publication	
196	300	196	300	Publication fee for republication	
194	130	194	130	Request for voluntary publication or republication	
098	130	098	130	Processing fee under 37 CFR 1.17(l)	
091	1,240	091	1,240	Acceptance of unintentionally delayed claim for priority	
Other fee (specify) _____					
Other fee (specify) _____					

**SUBTOTAL (3) \$ 40.00**

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**Typed or Printed Name: Marina PortnovaSignature: M. Portnova Date: February 16, 2001Reg. Number: 45,750 Telephone Number: (408) 720-8300

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**CORRECTED FOR REFUND USE**

PTO/SB/17(11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL FOR FY 2001**

<b>TOTAL AMOUNT OF PAYMENT (\$)</b>	<b><u>\$596.00</u></b>
-------------------------------------	------------------------

**Complete if Known:**

Application No. Unassigned

Filing Date Unassigned

**First Named Inventor** Eugene Lapidous

Group Art Unit Unassigned

Examiner Name Unassigned

Attorney Docket No. 5383.P001

**METHOD OF PAYMENT** (check one)

1. [ X ] The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

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**Deposit Account Name**

- [ X ] Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17**

- [ ] Applicant claims small entity status. See 37 CFR 1.27**

- [illegible]

## FEE CALCULATION

### 1. BASIC FILING FEE

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code</u>	<u>Fee (\$)</u>		
101	710	201	355	Utility application filing fee	355.00
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**SUBTOTAL (1) \$ 710.00**

## 2. EXTRA CLAIM FEES

<b>2. <u>EXTRA CLAIM FEES</u></b>				<b>Fee from below</b>	<b>Fee Paid</b>
		<b><u>Extra Claims</u></b>			
Total Claims	<u>29</u>	- 20** =	<u>9</u>	X <u>9.00</u>	= <u>81.00</u>
Independent Claims	<u>6</u>	- 3** =	<u>3</u>	X <u>40.00</u>	= <u>120.00</u>
Multiple Dependent					=

**\*\*Or number previously paid, if greater; For Reissues, see below.**

<u>Large Entity</u>		<u>Small Entity</u>		
<u>Fee</u>	<u>Fee</u>	<u>Fee</u>	<u>Fee</u>	
<u>Code</u>	<u>(\$)</u>	<u>Code</u>	<u>(\$)</u>	<u>Fee Description</u>
103	18	203	9	Claims In excess of 20
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104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) \$ 201.00**

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee</u>	<u>Fee</u>	<u>Fee</u>	<u>Fee</u>		
<u>Code</u>	<u>(\$)</u>	<u>Code</u>	<u>(\$)</u>		
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196	300	196	300	Publication fee for republication	
194	130	194	130	Request for voluntary publication or republication	
098	130	098	130	Processing fee under 37 CFR 1.17(i)	
091	1,240	091	1,240	Acceptance of unintentionally delayed claim for priority	

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

**SUBTOTAL (3) \$ 40.00**

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**Typed or Printed Name: Marina Portnova

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Reg. Number: 45.750Telephone Number: (408) 720-8300

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